

Attorney Docket No. 55565(820)
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

09/1768725
JC929 U.S. PTO
01/24/01

APPLICANT: Yoshihiro Izumi, et al

U.S.S.N.: **Not Yet Assigned**

Art Unit: Not Yet Assigned

FILED: Filed Herewith

Examiner: Not Yet Assigned

FOR: ACTIVE MATRIX SUBSTRATE, METHOD FOR FABRICATING THE SUBSTRATE AND
LIQUID CRYSTAL DISPLAY DEVICE

.....
CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States
Postal Service As Express Mail No. EL730721270US in an envelope addressed to Assistant
Commissioner for Patents, Washington, D.C. 20231 on January 24, 2001.

By: Holly F. Malarney
Holly F. Malarney

.....
**INFORMATION DISCLOSURE STATEMENT
(SUBMISSION AFTER FILING OF AN APPLICATION
BUT BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE)**

Honorable Commissioner of Patents and Trademarks
Washington, D.C. 20231

Date January 24, 2001

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an
Information Disclosure Statement for consideration by the Examiner.

I. **LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION**

The patents, publications or other information submitted for consideration by the
Office are listed on PTO-1449, attached hereto.

II. **COPIES**

a. Submitted herewith is a legible copy of (i) each U.S and foreign patent;
(ii) each publication or that portion which caused it to be listed; and
(iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE

(check at least one box)

a. Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).

b. A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:

Reference CA, which is a front page and a page showing the publication date (7/5/88) of "Science of Sol-Gel Method", is provided without translation. See English sections abstracted within Reference CB.

c. The following additional information is provided for the Examiner's consideration:

Applicants advise that References CA, CB and CC are more specifically referred to in the "Detailed Description of the Preferred Embodiments" of the specification submitted herein.

FEES

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)

(check one box)

a. within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.

b. within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.

c. before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS

under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. No certification; therefore, a fee in the amount of \$240.00 is required by 37 C.F.R. § 1.17(p).
or
- b. See the certification below. No fee is required.

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that

- a. each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.
- c. Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

IDS USSN: Not Yet Assigned

Page 4

Please charge Deposit Account No. 04-1105 in the amount of \$240.00 for the above-indicated fee. A triplicate copy of this paper is attached.

No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,



David G. Conlin (Reg. No. 27026)
DIKE, BRONSTEIN, ROBERTS & CUSHMAN
Intellectual Property Practice Group
EDWARDS & ANGELL, LLP
130 Water Street
Boston, MA 02109
Tel: (617) 523-3400

161500

U.S.PTO
0929/1689
01/24/01

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT		ATTY DOCKET NO. 55565 (820)	SERIAL NO. Not Assigned
APPLICANT(S): Y. Izumi, et al			
FILING DATE: Filed Herewith		ART UNIT: Not Assigned	

UNITED STATES PATENT DOCUMENTS

EXAM. INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FIL. DATE IF APPR

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRAN YES/NO

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

	CA	A front page and a page showing the publication date (July 5, 1988) of "Science of Sol-Gel Method" written by Sumio Sakka and issued by Agune Shoufu-Sha.
	CB	"ITO Thin Film Formation by Sol-Gel Method", Journal of the Ceramic Society of Japan, Vol. 102, No. 2, pp. 200-205 (1994).
	CC	"Effects of UV Irradiation on the Formation of Oxide Thin Films from Chemically Modified Metal-Alkoxides", Journal of Sol-Gel Science and Technology, 2, pp. 581-585 (1994).

Examiner:	Date: